

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re CONTINUATION Application of: )  
Marcos C. TZANNES ) Attn: Applications Branch  
Based on US Serial No. 09/523,086 ) Group Art Unit: 2663  
Which Was Filed: March 10, 2000 )  
For: A METHOD FOR SYNCHRONIZING SEAMLESS )  
RATE ADAPTATION ) September 17, 2003

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98. The references listed on the PTO-1449 Form were cited in the parent (09/523,086) of the above-captioned application.

It is requested that the accompanying PTO-1449 be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 19-2380.

Respectfully submitted,

By: \_\_\_\_\_

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JHV/sas

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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>			
				Application Number		Not Yet Assigned	
				Filing Date		September 17, 2003	
				First Named Inventor		Marcos C. Tzannes	
				Group Art Unit		2663	
				Examiner Name		Not Yet Assigned	
Sheet	1	of	4	Attorney Docket Number		081513-352	

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,625,651		Cioffi	04-29-1997	
		5,682,419		Grube et al.	10-28-1997	

FOREIGN PATENT DOCUMENTS								
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
			EP 0 753 948		Johan Peeters et al.	01-15-1995		
			EP 0 828 363		Michael Polley et al.	03-11-1998		
			EP 0 833 474		Raymond P. Voith et al.	04-01-1998		
			EP 0869 647		Richard D.J. van Nee	10-07-1998		
			EP 0 916 193		John Terry	05-19-1999		
			WO 86/07223		Dirk Hughes-Hartogs	12-04-1986		
			WO 97/36384		Thomas Alberty	10-02-1997		
			WO 99/20027		Richard W. Gross et al.	04-22-1999		
			WO 00/13387		Terry L. Cole et al.	03-09-2000		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		John M. Cioffi "A Multicarrier Premier" Amati Communications Corporation and Stanford University, pages 1-18.	
		Yair Shoham et al. "Efficient Bit Allocation for an Arbitrary Set of Quantizers" IEEE Transactions on Acoustics, Speech, And Signal Processing; Vol.36, No.9, September 1988; pages 1445-1453.	
		Related U.S. Patent Application Serial No. 09/522,870.	
		Related U.S. Patent Application Serial No. 09/522,869.	
		Related U.S. Patent Application Serial No. 09/663,001.	
		Related U.S. Patent Application Serial No. 09/663,758.	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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				Filing Date	September 17, 2003
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				Group Art Unit	2663
Examiner Name	Not Yet Assigned				
Sheet	2	of	4	Attorney Docket Number	081513-352

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,822,374		Levin	Oct. 13, 1998	
		5,910,959		Olafsson et al.	Jun. 8, 1999	
		6,009, 122		Chow	Dec. 28, 1999	
		6,011,814		Martinez et al.	Jan. 4, 2000	
		6,072,779		Tzannes et al.	Jun. 6, 2000	
		6,084,917		Kao et al.	Jul. 4, 2000	
		6,188,729		Perkins	Feb. 13 2001	
		6,091,713		Lechleider et al	July 2000	
		6,266,348		Gross et al	July 2001	
		6,498,808 A		M. Tzannes	12 2002	
		2002/0080824		Michael J. Wingrove	June 2002	
		2002/0015421 A		Abbas et al	Feb. 2002	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
		WO	01/13622 A2		Nortel Networks, Ltd.	February 22, 2001		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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FORM PTO - 1449

## INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: 081513-352

APPLICANTS: Marcos C. Tzannes

SERIAL NO.: Not Yet Assigned

FILING DATE: Sept. 17, 2003

## U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	3,573,380	4/6/71	Darlington	179	15	5/15/69
	AB	4,131,766	12/26/78	Narasimha	179	15	7/11/77
	AC	4,568,156	2/4/86	Dane	350	632	11/7/84
	AD	4,679,227	7/7/87	Hughes-Hartogs	379	98	5/20/85
	AE	4,731,816	3/15/88	Hughes-Hartogs	379	98	1/12/87
	AF	4,802,190	1/31/89	Schouhamer Immink	375	38	6/15/87
	AG	4,912,763	3/27/90	Galand et al.	381	31	9/24/87
	AH	5,048,054	9/10/91	Eyuboglu et al.	375	8	5/12/89
	AI	5,128,964	7/7/92	Mallory	375	39	10/10/90
	AJ	5,206,886	4/27/93	Bingham	375	97	4/16/90
	AK	5,285,474	2/8/94	Chow et al.	375	13	6/12/92
	AL	5,400,322	3/21/95	Hunt et al.	370	19	8/20/93
	AM	5,428,790	6/27/95	Harper et al.	395	750	10/8/93
	AN	5,452,288	9/19/95	Rahuel et al.	370	19	4/6/93
	AO	5,479,447	12/26/95	Chow et al.	375	260	5/3/93
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	AQ	5,521,906	5/28/96	Grube et al.	370	17	1/26/95
	AR	5,327,574	7/5/94	Monma et al.	455	33.2	2/20/91
	AS	5,533,008	7/2/96	Grube et al.	370	17	1/26/95
	AT	5,555,244	9/10/96	Gupta et al.	370	60.1	6/30/94
	AU	5,596,604	1/21/97	Cioffi et al.	345	260	8/17/93
	AV	5,598,435	1/28/97	Williams	375	261	2/4/94
	AW	5,636,246	6/3/97	Tzannes et al.	375	260	11/16/94
	AX	5,812,599	9/22/98	VanKerckhove	375	260	7/10/96

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	AZ	6,052,411	4/18/00	Mueller et al.	375	222	4/6/98

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	BA	0473465 A1	3/4/92	EP	H04M	1/72	5/30/91	N	Y
	BB	0652677 A2	5/10/95	EP	H04N	7/24	11/4/94	N	Y
	BC	0703685 A2	3/27/96	EP	H04L	1/18	9/14/95	N	Y
	BD	0762701 A2	3/12/97	EP	H04L	27/26	9/4/96	N	Y
	BE	0812087 A2	12/10/97	EP	H04L	27/26	5/28/97	N	Y
	BF	0820168 A2	1/21/98	EP	H04L	5/14	7/17/97	N	Y
	BG	0840474 A2	5/6/98	EP	H04L	5/14	10/28/97	N	Y
	BH	0905948 A2	3/31/99	EP	H04L	27/26	9/21/98	N	Y
	BI	97/15131	4/24/97	WO	H04L	1/12	10/18/96	N	Y
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	BL	99/16224	4/1/99	WO	H04L	27/26	9/9/98	N	Y
	BM	99/18701	4/15/99	WO	H04L	27/00	6/18/98	N	Y

## OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)						
	CA	John A. C. Bingham, "Multicarrier Modulation for Data Transmission: An Idea Whose Time Has Come" May 1990 – IEEE Communications Magazine Pages 5-14.					
EXAMINER					DATE CONSIDERED		